

Organic Process/Handling Plan/Application

Please fill out this questionnaire if you are requesting organic process/handling certification or re-certification. Attach Organic Product Profile sheets for all products requested for certification and a current schematic product flow chart, facility map, pest management map, water test, and appropriate MSDS if required. Use additional sheets if necessary.

SECTION 1: General Information			
Applicant/Company Name		Organic Certification Number	
Owner	Manager	Primary contact person	
Address	City	For Office Use Only Received	
State	Zip Code	Entered	Initials
Phone	Fax	Certification Number	Inspection
	E-mail	Fee/Check Number	Other
Legal Status: <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Trust or non-profit <input type="checkbox"/> Corporation <input type="checkbox"/> Legal Partnership <input type="checkbox"/> Other-specify			
List previous organic certification by other agencies		List current organic certification by other agencies	
List all conditions from last year's certification and state how the conditions have been addressed:			
Have you ever been denied certification? <input type="checkbox"/> yes <input type="checkbox"/> no		If yes, describe the circumstances:	
Do you have a copy of current organic standards? <input type="checkbox"/> yes <input type="checkbox"/> no			
Do you understand current organic standards? <input type="checkbox"/> yes <input type="checkbox"/> no			
Year company began	Number of employees	Name of person overseeing organic production	
Do you have an employee training program for organic product permits/ processing/ handling? <input type="checkbox"/> yes <input type="checkbox"/> no			
Government permits/inspections			Year first certified
Type of processing handling		<input type="checkbox"/> Primary <input type="checkbox"/> Contract vendor	
If you are the primary processor, list your contract vendors:			<input type="checkbox"/> No contract vendors
CONTRACT VENDOR	ADDRESS	PHONE NO.	CERTIFIED BY

Estimated annual total production: _____% organic _____% conventional

List or attach a list of all products produced by your company:

List all products requested for organic certification. *Attach an Organic Product Profile for each individual product.*

SECTION 2: Material Inputs

NOP standards require that all primary ingredients be certified organic unless they are not available. Salt and water are not considered ingredients. Non-organic ingredients and processing aids must be listed as Approved on the National List. You also need to show efforts to obtain certified organic ingredients whenever possible. No genetically engineered ingredients or processing aids are allowed.

A. INGREDIENTS:

Fill out Organic Product Profiles for all organic products requested for certification.

Are any non-organic ingredients listed as: restricted materials? ☐ yes ☐ no prohibited materials? ☐ yes ☐ no

Check if any non-organic ingredients have been processed with or exposed to the following:

☐ irradiation ☐ genetic engineering ☐ fumigation ☐ petroleum distillates ☐ synthetic solvents

B. PROCESSING AIDS:

List all processing aids used in the production of certified organic products:

How/why are they used?

Are any processing aids listed as: restricted materials? ☐ yes ☐ no prohibited materials? ☐ yes ☐ no

Check if any processing aids have been processed with or exposed to the following:

☐ irradiation ☐ genetic engineering ☐ fumigation ☐ petroleum distillates ☐ synthetic solvents

C. WATER:

Organic standards require that water meet potable water standards. For products that use culinary steam, boiler additives may not contaminate the organic products.

Check ways water is used in processing:

☐ None used

☐ ingredient ☐ processing aid ☐ cooking ☐ cooling ☐ product transport

☐ cleaning organic products ☐ cleaning equipment ☐ other

Source of water: ☐ municipal ☐ on-site well ☐ other

Is the water potable? ☐ yes ☐ no *Attach copy of water test, if applicable.*

List any known water contaminants:

What on-site water treatment processes are used? ☐ None used

Is culinary steam used in the processing of organic products? ☐ yes ☐ no

If steam has direct contact with organic products, do you use:

☐ No direct contact

☐ steam filters ☐ condensate traps ☐ testing of condensate ☐ testing of finished products

☐ other

List products used as boiler additives:

Attach MSDS, label information.

Describe your water conservation strategies?

SECTION 3: Production System

NOP standards require attachment of a complete written description or schematic product flow chart which shows the movement of all organic products, from incoming/receiving through production to outgoing/shipping. All equipment and storage areas must be identified.

A. PRODUCT FLOW:

Attach a schematic product flow chart which shows where and how the product is received, stored, processed, packaged, and warehoused, identifying all pieces of equipment, storage areas and where ingredients are added or processing aids used.

B. EQUIPMENT:

List all equipment used in processing:

NAME	CAPACITY	IS IT CLEANED PRIOR TO ORGANIC PRODUCTION RUNS? YES (Y) NO (N)	IS CLEANING DOCUMENTED YES (Y) NO (N)	IS THIS EQUIPMENT PURGED PRIOR TO ORGANIC PRODUCTION? YES (Y) * NO (N)

*If equipment is purged, list and describe purge procedures, quantities purged, and documentation:

SECTION 4: Assurance of Organic Integrity

NOP standards require that procedures, processes, storage and equipment present no contamination risk to organic products from co-mingling with other non-organic products, sanitation products or pest management products. Procedures used to maintain organic integrity must be documented.

ORGANIC CONTROL POINTS: (OCP's), similar to Hazard Analysis Critical Control Points (HACCP), are points in the production system where the integrity of the organic product may be compromised. Examples are co-mingling with

non-organic products, contamination by sanitizers or pesticides, and improper cleaning of equipment prior to running organic products.

Do you have an Organic Control Point program in place to address areas of potential contamination? ☐ yes ☐ no

If yes, list Organic Control Points you have identified in your process or submit a copy of your Organic Control Program.

If no, do you have plans to implement an Organic Control Point program? ☐ yes ☐ no

SECTION 5: Audit Control and Record Keeping System

NOP Rule 205.103

NOP standards require that audit control records track finished organic products back to all ingredients. Ingredients must be verified as certified organic. Amounts of organic finished products must balance with certified organic ingredients purchased. All relevant documents must identify products as "organic."

NOP Rule requires that records disclose all activities and transactions of the operation, be maintained for 5 years, and demonstrate compliance with the NOP Rule. All records must be accessible to the inspector.

Number, in the order of use, the types of documents which you use to track organic products at this operation:

Incoming:

____ purchase orders	____ contracts	____ invoices	____ receipts
____ bills of lading	____ Customs forms	____ scale tickets	____ quality test results
____ Certificates of Analysis	____ Transaction Certificates	____ copies of Organic Certificates	
____ receiving records	____ receiving summary log (12 mos.)		
____ other			

In process:

____ ingredient inspection forms	____ blending reports	____ production reports	____ equipment cleanout logs
____ sanitation logs	____ packaging reports	____ QA reports	
____ production summary records (12 mos.)			
____ other			

Storage:

____ ingredient inventory reports	____ finished product inventory reports
____ other	

Outgoing:

____ shipping log	____ transport unit inspection forms	____ bills of lading	____ scale tickets
____ purchase orders	____ sales orders	____ sales invoices	____ phytosanitary
____ export declaration forms	____ Transaction Certificates	____ copies of Organic Certificates	certificates
____ shipping summary log	____ sales summary log	____ audit control register	
____ other			

Describe your lot numbering system:

Can your record keeping system track the finished product back to all ingredients? ☐ yes ☐ no

Can your record keeping system balance organic product in and organic product out? ☐ yes ☐ no

SECTION 6: Quality Assurance

Do you have a QA program in place? ☐ yes ☐ no ☐ No Changes

If yes, what program do you use? ☐ HACCP ☐ TQM ☐ other

Are any outside quality assessment services used? ☐ yes ☐ no

If yes, name of company:

Product testing: (check all applicable categories)

☐ ingredients prior to purchase ☐ ingredients upon receipt ☐ during production ☐ finished product

Are ingredient samples retained? ☐ yes ☐ no If yes, how long?

Are finished product samples retained? ☐ yes ☐ no If yes, how long?

Do you have a product recall system in place? ☐ yes ☐ no

SECTION 7: Sanitation

NOP standards require that good sanitation practices are used throughout the facility and that residues from cleaning materials do not contaminate organic products.

Check all cleaning methods used:

☐ sweeping ☐ scraping ☐ vacuuming ☐ compressed air ☐ manual washing

☐ clean in place (CIP) ☐ steam cleaning ☐ sanitizing ☐ other

Provide information on your cleaning program and products used:

AREA	TYPE OF CLEANING	EQUIPMENT USED	PRODUCTS USED	FREQ	DOCUMENTATION
RECEIVING AREA					
INGREDIENT STORAGE					
PRODUCT TRANSFER					
PRODUCTION AREA					
PRODUCTION EQUIPMENT					
PACKAGING AREA					
FINISHED PROD. STORAGE					
LOADING DOCK					
BUILDING EXTERIOR					
ACCIDENTAL SPILLS					

Are all surfaces which contact organic products food grade? ☐ yes ☐ no

Do you test food contact surfaces or rinsate for cleanser/sanitizer residues? ☐ yes ☐ no

Where are cleaning/sanitizing materials stored?

Attach MSDS and/or label information for cleansers and sanitizers, if applicable.

SECTION 8: Pest Management

A. GENERAL INFORMATION:

What type of pest management system do you use? ☐ in-house: name of responsible person

☐ contract pest control service (name, address, phone no.)

Check all pest problems you generally have: ☐ flying insects ☐ crawling insects ☐ spiders ☐ birds ☐ rats
☐ mice ☐ other

B. CHECK ALL PEST MANAGEMENT PRACTICES YOU USE:

- ☐ good sanitation ☐ removal of exterior habitat/food sources ☐ cleanup of spilled product
☐ exclusion ☐ sealed doors and/or windows ☐ repair of holes, cracks, etc. ☐ screened windows, vents, etc.
☐ physical barriers ☐ sheet metal on sides of building exterior ☐ mowing ☐ air curtains ☐ air showers
☐ positive air pressure in facility ☐ monitoring ☐ ingredient inspection for pests
☐ inspection zones around interior perimeter ☐ ultrasound/light devices ☐ release of beneficials ☐ sticky traps
☐ electrocutors ☐ pheromone traps ☐ mechanical traps ☐ scare eye balloons ☐ freezing treatments
☐ heat treatments ☐ vacuum treatments ☐ carbon dioxide ☐ nitrogen ☐ vitamin baits
☐ pyrethrum ☐ ryania ☐ rotenone ☐ boric acid ☐ disodium octal tetrahydrate ☐ diatomaceous earth
☐ precipitated silica ☐ fumigation ☐ fogging ☐ crack and crevice spray
☐ other

C. PESTICIDE USE INFORMATION FOR THE LAST 12 MONTHS:

PRODUCT	TARGET PEST	LOCATION WHERE USED	METHOD OF APPLICATION	DATE OF LAST APPLICATION

Are any products used which are prohibited by organic standards? ☐ yes ☐ no

Can any pest control products come into contact with any organic ingredients, finished organic products, or packaging materials? ☐ yes ☐ no

If yes, describe your protocols to prevent contamination:

If pesticides are used, where are they stored?

Is your structural pest management system effective? ☐ yes ☐ no

Attach facility map showing location of traps and monitors. Attach MSDS and/or label information, if applicable.

SECTION 9: Packaging and Labeling

NOP standards require that packaging materials are free of prohibited substances and must not contaminate the organic product. Organic product labels must meet certification agency and government labeling requirements.

A. PACKAGING:

Check types of packaging material used: ☐ bulk ☐ paper ☐ cardboard ☐ wood ☐ glass ☐ metal ☐ foil
☐ plastic ☐ waxed paper ☐ aseptic ☐ natural fiber ☐ synthetic fiber ☐ other

Are all packaging materials food grade? ☐ yes ☐ no

Are all packaging materials free of prohibited materials? ☐ yes ☐ no

Are packaging materials recyclable? ☐ yes ☐ no Returnable? ☐ yes ☐ no

B. LABELING:

Describe the information provided on labels of all organic products or attach samples of all organic product labels:

Do you plan to use the certification agency seal on the label? ☐ yes ☐ no

SECTION 10: Storage

NOP standards require that no co-mingling or contamination of organic products occur during storage. All storage sites must be properly documented and organic products clearly identified in storage. Off-site storage areas may need to be inspected and certified.

STORAGE INFORMATION:

USE	LOCATION	TYPE/ CAPACITY	DEDICATED ORGANIC? YES (Y) NO (N)	IDENTIFICATION
Ingredient storage				
Packaging material storage				
In-process storage				
Finished product storage				
Off-site storage*				

* If there is off-site storage, give name, address, phone number and contact person:

SECTION 11: Transportation of Organic Products

NOP standards require that the integrity of organic products be preserved during transport.

A. INCOMING:

In what forms are incoming products received? ☐ dry bulk ☐ liquid bulk ☐ tote bags ☐ tote boxes
☐ metal drums ☐ cardboard drums ☐ paper bags ☐ foil bags ☐ other

How are incoming products transported?

Do you arrange incoming product transportation? ☐ yes ☐ no

How do you insure that inbound transport units are clean prior to loading organic products?

Is this documented? ☐ yes ☐ no

Are transport units used to carry any prohibited materials? ☐ yes ☐ no

Have transport companies been notified of organic handling requirements? ☐ yes ☐ no

Are organic products shipped at the same time as non-organic in the same transport units? ☐ yes ☐ no

Check steps taken to segregate organic products: ☐ dedicated organic only ☐ use of pallets ☐ pallet tags

☐ organic product shrink-wrapped ☐ separate area in transport unit ☐ other

B. IN-PROCESS:

How are in-process products transported?

How do you insure that in-process transport units are clean prior to loading organic products?

Is this documented? ☐ yes ☐ no

C. OUTGOING FINISHED PRODUCT:

In what form are finished products shipped? ☐ dry bulk ☐ liquid bulk ☐ tote bags ☐ tote boxes ☐ paper bags

☐ foil bags ☐ metal drums ☐ mesh bags ☐ cardboard drums ☐ cardboard cases ☐ plastic crates

☐ other

How are outgoing products transported?

Do you arrange outgoing product transportation? ☐ yes ☐ no

How do you insure that outgoing transport units are clean prior to loading organic products?

Is this documented? ☐ yes ☐ no

Are transport units used to carry any prohibited materials? ☐ yes ☐ no

Have transport companies been notified of organic handling requirements? ☐ yes ☐ no

Are organic products shipped at the same time as non-organic in the same transport units? ☐ yes ☐ no

Check steps taken to segregate organic products: ☐ dedicated organic only ☐ use of pallets ☐ pallet tags

☐ organic product shrink-wrapped ☐ separate area in transport unit ☐ other

SECTION 12: Waste Management

Will any waste products from certified organic ingredients be sold as certified organic? ☐ yes ☐ no

If yes, complete Organic Product Profile for each product.

Check all aspects of your waste management system that apply: ☐ on-site dumpster ☐ material recycling

☐ water recycling ☐ water filtering ☐ smokestack filters ☐ composting ☐ daily pickup of waste

☐ sediment ponds ☐ field application of waste ☐ other

SECTION 13: Affirmation

I affirm that all statements made in this application are true and correct. I agree to follow organic standards. I understand that the operation may be subject to unannounced inspection and/or sampling for residues at any time as deemed appropriate to ensure compliance with the NOP Rule. I understand that acceptance of this questionnaire in no way implies granting of certification by the certifying agent. I agree to follow the organic standards as required in 7 CFR 205 and KAR 40:010.

I understand that I may withdraw this application in writing at any time. I understand that I may be held liable for the costs of any services provided by the certifying agent up to the time of withdrawal. I understand that voluntary withdrawal prior to the issuance of a notice of noncompliance or certification denial that I will not be issued a notice of noncompliance or certification denial.

NOTICE OF CONFIDENTIALITY: This information, including any attachments, is intended only for the use of the Kentucky Organic Certification Program, certifying agents, The Kentucky Organic Advisory Board, and required reporting information as required for the Agricultural Marketing Service (AMS) Administrator, National Organic Program. This application may contain information, individual or entity that is of a confidential nature, which is legally privileged and exempt from disclosure under applicable law. Certain information which is considered public information may be printed or transferred for marketing and promotional use unless otherwise specified by the signatory. If the reader of this message is not the intended recipient, you are notified that any review, use, disclosure, distribution or copying of this information is strictly prohibited.

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Signature of Owner/Manager **Date** _____

Subscribed and sworn to before me this _____ **day of** _____, _____.

Notary Public _____

My commission expires _____, _____.

I have attached the following documents:

- | | | |
|--|---|---|
| <input type="checkbox"/> product flow chart | <input type="checkbox"/> facility map | <input type="checkbox"/> Organic Product Profiles |
| <input type="checkbox"/> pest management map of traps and monitors | <input type="checkbox"/> water test | |
| <input type="checkbox"/> appropriate MSDS, if applicable | <input type="checkbox"/> organic product labels | |

Submit completed form and supporting documents to:

Kentucky Department of Agriculture
Certified Organic Program
100 Fair Oaks Lane, 5th Floor
Frankfort, KY 40601

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